

We are providing a Microsoft Word version of the revised draft Model State Plan (MSP) for CSBG state agencies to use for planning and development of their FY 2016 State plan. While OMB may require further adjustments to the MSP after they have finalized their review (currently undergoing), this document is the final clearance version.

Community Services Block Grant (CSBG) Model State Plan

Table of Contents

Mandatory Grant Application SF-424

- [Section 1:](#) CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter
- [Section 2:](#) State Legislation and Regulation
- [Section 3:](#) State Plan Development and Statewide Goals
- [Section 4:](#) CSBG Hearing Requirements
- [Section 5:](#) CSBG Eligible Entities
- [Section 6:](#) Organizational Standards for Eligible Entities
- [Section 7:](#) State Use of Funds
- [Section 8:](#) State Training and Technical Assistance
- [Section 9:](#) State Linkages and Communication
- [Section 10:](#) Monitoring, Corrective Action, and Fiscal Controls
- [Section 11:](#) Eligible Entity Tripartite Board
- [Section 12:](#) Individual and Community Income Eligibility Requirements
- [Section 13:](#) Results Oriented Management and Accountability (ROMA) System
- [Section 14:](#) CSBG Programmatic Assurances and Information Narrative
- [Section 15:](#) Federal Certifications

SECTION 1

CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency **[Narrative, 2500 Characters]** The West Virginia Office of Economic Opportunity (OEO) has been designated by the Governor, Earl Ray Tomblin of West Virginia to act as the lead agency for the administration of the Community Services Block Grant (CSBG).

1.1b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- ☐ Community Services Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Governor's Office
- ☐ Community Affairs Department
- ☐ Other, describe: **[Narrative, 2500 characters]** Department of Commerce

1.1c. Division, bureau, or office of the CSBG authorized official **[Narrative, 2500 Characters]** WV Office of Economic Opportunity

1.1d. Authorized official of the lead agency **[Narrative, 2500 Characters]** Ms. Julie A. Alston

Instructional note: The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3). The authorized official is the person indicated as authorized representative on the SF-424M.

1.1e. Street address **[Narrative, 2500 characters]** 700 Washington St. East 4th Floor

1.1f. City **[Narrative, 2500 characters]** Charleston

1.1g. State **[Dropdown]** West Virginia

1.1h. Zip **[Narrative, 5 characters]** 25301

1.1i. Telephone number and extension **[Narrative, 10 – 15 characters which includes option for 5 digit extension]** 304-558-8860 x312

1.1j. Fax number **[Narrative, 10 characters]** 304-558-4210

1.1k. Email address **[Narrative, 2500 characters]** Julie.A.Alston@wv.gov

1.1l. Lead agency website **[Narrative, 2500 characters]** <http://www.oeo.wv.gov>

1.2. Provide the following information in relation to the designated State CSBG point of contact.

Instructional Note: The State CSBG point of contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency name **[Narrative, 2500 characters]** WV Office of Economic Opportunity

1.2b. Name of the point of contact **[Narrative, 2500 characters]** Ms. Shelly Woda

1.2c. Street address **[Narrative, 2500 characters]** 700 Washington St. East, 4th Floor

1.2d. City **[Narrative, 2500 characters]** Charleston

1.2e. State **[Dropdown]** West Virginia

1.2f. Zip **[Narrative, 5 characters]** 25301

1.2g. Point of contact telephone number **[Narrative, 10 – 15 characters which includes option for entering up to 5 digit extension]** 304-558-8860 x329

1.2h. Fax number **[Narrative, 10 characters]** 304-558-4210

1.2i. Point of contact email address **[Narrative, 2500 characters]** Shelly.J.Woda@wv.gov

1.2j. Point of contact agency website **[Narrative, 2500 characters]** <http://www.oeo.wv.gov>

1.3. Designation Letter: Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. **[Attach a document]**

Instructional Note: The letter should be from the chief executive officer of the State and include, at minimum, the designated State CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

SECTION 2

State Legislation and Regulation

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG? ☐ Yes X No
- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG? ☐ Yes X No
- 2.3.** If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate. **[Attach a document and/or provide a link]**
- 2.4. State Authority:** Select a response for each question about the State statute and/or regulations authorizing CSBG:
- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes X No
- 2.4b.** Did the State establish or amend regulations for CSBG last year? ☐ Yes X No
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? ☐ Yes X No

SECTION 3

State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency. **[Narrative, 2500 characters]** The Office of Economic Opportunity (OEO) ensures the integrity of programs by providing funding, training, technical assistance, and oversight for a statewide network of partners that increase economic opportunities for individuals, families, and communities in West Virginia.
- 3.2. State Plan Goals:** Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan. **[Narrative, 2500 characters]**

The goals of the State CSBG Office are:

1. To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]
2. To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year.
3. To limit the amount of funds carried over to the succeeding fiscal year of an allocation.
4. To spend no less than 5 percent of the grant received under Section 675A or the State allotment received under section 675C(b)(1) for discretionary expenses.
5. To hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the State plan. ['676(a)(2)(B)]
6. To promote the implementation of the National Organizational Standards, including; provision of training and resources to CEEs to complete an electronic Self-assessment
7. To review the Organizational Standards electronic Self-assessments annually and provide Technical Assistance Plans(TAPs) or Quality Improvement Plans(QIPs) for improvement.
8. To assure that all WV CSBG Eligible Entities meet 100% of the Organizational Standards by the end of FY2017.
9. To present a summary of the CSBG State Plan at an annual legislative hearing for block grants in the State of WV in accordance with ['676(a)(3)].
10. To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]

11. To provide timely communication to subrecipients and statewide partners on the administration of CSBG, including, communication of grant requirements and training and technical assistance opportunities.
12. To provide regular training opportunities on topics crucial to the successful implementation of CSBG, including at a minimum; CSBG Application training, Grant Agreement training, IS Report training, Grant Financial Tracking/Invoicing training, Organizational Standards training, ROMA training, and Community Needs Assessment training.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

Note: This information is associated with State Accountability Measure 1Sa(i) and may pre-populate the State’s annual report form.

3.3. State Plan Development: Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that applies and narrative where applicable]

- ☐ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☐ U.S. Census data
- ☐ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☐ Other data (describe) **[Narrative, 2500 characters]** Internal policies including; CSBG Monitoring Procedures, CSBG Client File requirements
- ☐ Eligible entity community needs assessments
- ☐ Eligible entity plans
- ☐ Other information from eligible entities, e.g., State required reports (describe) **[Narrative, 2500 characters]**

3.3b. Consultation with [Check all that applies and narrative where applicable]

- ☐ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☐ State community action association and regional CSBG T & TA providers
- ☐ State partners and/or stakeholders (describe) **[Narrative, 2500 characters]**
- ☐ National organizations (describe) **[Narrative, 2500 characters]**
- ☐ Other (describe) **[Narrative, 2500 characters]**

3.4. Eligible Entity Involvement

- 3.4a.** Describe the specific steps the State took in developing the State Plan to involve the eligible entities. **[Narrative, 2500 Characters]** The State worked closely with CEEs to develop state procedures for implementation of the Organizational Standards. Communication included discussions during Association meetings, a planning session with the Association, working closely with a CEE to pilot the self-assessment process and

assist with the training process, and allow for comments on the State implementation policy. The State plans to work more closely with the CEEs during the implementation of this State Plan by means of quarterly Executive Director meetings to involve the CEEs in a greater capacity moving forward.

Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

~~3.4b. Performance Management Adjustment:~~ How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **~~[Narrative, 2500 Characters]~~**

~~Note:~~ This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

~~3.5. Eligible Entity Overall Satisfaction:~~ Provide the State's target for eligible entity Overall Satisfaction during the performance period: _____. **~~[Numerical, 3 digits]~~**

~~Instructional Note:~~ The State's target score will indicate improvement or maintenance of the States' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State's eligible entities. (See information about the ACSI in the CSBG State Accountability Measures document.)

~~Note:~~ Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form.

SECTION 4

CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act. **[Narrative, 2500 Characters]** The State Plan was made available on the state website (www.oeo.wv.gov) on August 5, 2015, and CSBG Eligible Entities were made aware of the posting.
- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]** The plan was made available two weeks prior to the hearing and the public was notified by ads in 8 major newspapers throughout the state. Ads were ran for 3 consecutive days at least 2 weeks prior to the hearing.
- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail).

Instructional Note: The date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]
1) August 19, 2015	1) 700 Washington St., East, 4 th Floor, Charleston, WV 25301	1) Public
2) January	2) 1900 Kanawha Blvd., East, Charleston, WV 25350	2) Legislative
ADD a ROW function Note: rows will be able to be added for each additional hearing		

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings. **[Attach a document or provide a hyperlink.]**

SECTION 5

CSBG Eligible Entities

- 5.1. CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
Central WV Community Action Association, Inc.	Nonprofit	Community Action Agency	(2) Lewis, Harrison	
CHANGE, Inc.	Nonprofit	Community Action Agency	(4) Brooke, Hancock, Marshall, Ohio	
Coalfield Community Action Partnership, Inc.	Nonprofit	Community Action Agency	(1) Mingo	
Community Action of South Eastern West Virginia, Inc.	Nonprofit	Community Action Agency	(3) Mercer, Monroe, Summers	
Community Resources, Inc.	Nonprofit	Community Action Agency	(11) Calhoun, Doddridge, Gilmer, Jackson, Pleasants, Ritchie, Roane, Tyler, Wetzel, Wirt, Wood	
Council of the Southern Mountains, Inc.	Nonprofit	Community Action Agency	(1) McDowell	
Eastern WV Community Action Agency, Inc.	Nonprofit	Community Action Agency	(6) Grant, Hampshire, Hardy, Mineral, Morgan, Pendleton	
EnAct, Inc.	Nonprofit	Community Action Agency	(5) Boone, Clay, Fayette, Kanawha, Putnam	
Mountain CAP of West Virginia, Inc.	Nonprofit	Community Action Agency	(3) Braxton, Upshur, Webster	
MountainHeart Community Services, Inc.	Nonprofit	Community Action Agency	(1) Wyoming	
Nicholas Community Action Partnership, Inc.	Nonprofit	Community Action Agency	(1) Nicholas	
North Central WV Community Action Association, Inc.	Nonprofit	Community Action Agency	(9) Barbour, Greenbrier, Marion, Monongalia,	

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
			Pocahontas, Preston, Randolph, Taylor, Tucker	
PRIDE Community Services, Inc.	Nonprofit	Community Action Agency	(1) Logan	
Raleigh County Community Action Association, Inc.	Nonprofit	Community Action Agency	(1) Raleigh	
Southwestern Community Action Council, Inc.	Nonprofit	Community Action Agency	(4) Cabell, Lincoln, Mason, Wayne	
Telamon Corporation	Nonprofit	Community Action Agency	(2) Berkeley, Jefferson	
ADD A ROW function Note: rows will be able to be added for each eligible entity funded in the State				

5.2. Total number of CSBG eligible entities: ## [This will automatically update based on chart in 5.1]

5.3. **Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, briefly describe the changes. ☐ Yes ☒ No
[If yes is selected – Narrative, 2500 characters]

Instructional Note: Limited Purpose Agency refers to an eligible entity that was designated as a limited purpose agency under title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

Instructional Note: 90 percent funds are the funds a State provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A State must provide "no less than 90 percent" of their CSBG allocation, under Section 675B, to the eligible entities.

SECTION 6

Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

- 6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.

- ☐ The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
- ☐ The State will use an alternative set of organizational standards **[Attach supporting documentation if this option is selected]**

- 6.2.** If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☐ Yes ☒ No

~~**6.2a.** If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale. **[Narrative, 2500 characters]**~~

- 6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative where applicable]**

- ☐ Regulation
- ☐ Policy
- ☐ Contracts with eligible entities
- ☐ Other, describe: **[Narrative, 2500 characters]**

- 6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138? **[Check all that applies]**

- ☐ Peer-to-peer review (with validation by the State or State-authorized third party)
- ☐ Self-assessment (with validation by the State or State-authorized third party)
- ☐ Self-assessment/peer review with State risk analysis
- ☐ State-authorized third party validation
- ☐ Regular, on-site CSBG monitoring
- ☐ Other

6.4a. Describe the assessment process. **[Narrative, 2500 characters]**

The State(OEO) is responsible for assessing the status of standards among all of the eligible entities annually and for reporting to OCS on the standards in the CSBG Annual Report beginning in FY2016.

Beginning in FY2015, eligible entities will complete an electronic self-assessment by September 30, 2015. This assessment will serve as a practice assessment and to evaluate potential training needs across the state to be the focus of state training in FY2016. OEO will work with the WV Community Action Partnership, Inc. to develop timely and effective trainings to address common training needs among all eligible entities.

Beginning in FY2016, OEO will establish a schedule to review and verify eligible entities' electronic assessment of standards once per program year through an OEO desk review process. Eligible entities must update their electronic assessments no less than annually to ensure a fair desk review process by OEO.

OEO is responsible for ensuring that all eligible entities meet all organizational standards. Some standards may take several years for eligible entities to meet, but every entity must make steady progress toward the goal of meeting all standards.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

☐ Yes ☒ No

~~**6.5a.** If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. [Narrative, 2500 characters or attach document]~~

If this is the first year filling out the automated State Plan, skip the following question.

~~**6.6. — Performance Target:** What percentage of eligible entities in the State does the State expect will meet all the State adopted organizational standards in the next year? [Insert a percentage]~~

~~**Note:** This information is associated with State Accountability Measures 6Sa and may pre-populate the State's annual report form.~~

SECTION 7

State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1 Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other **[Narrative, 2500 Characters]**

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☐ Yes ☒ No

7.2. Planned Allocation: Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Central WV Community Action Association, Inc.	\$ 366,314		\$ 366,314	
CHANGE, Inc.	\$ 440,162		\$ 440,162	
Coalfield Community Action Partnership, Inc.	\$ 229,539		\$ 229,539	
Community Action of South Eastern West Virginia, Inc.	\$ 402,072		\$ 402,072	
Community Resources, Inc.	\$ 692,870		\$ 692,870	
Council of the Southern Mountains, Inc.	\$ 254,228		\$ 254,228	
Eastern WV Community Action Agency, Inc.	\$ 377,491		\$ 377,491	
EnAct, Inc.	\$ 810,502		\$ 810,502	
Mountain CAP of West Virginia, Inc.	\$ 295,388		\$ 295,388	
MountainHeart Community Services, Inc.	\$ 209,402		\$ 209,402	
Nicholas Community	\$ 218,938		\$ 218,938	

Planned CSBG 90 Percent Funds		
Action Partnership, Inc.		
North Central WV Community Action Association, Inc.	\$ 862,747	\$ 862,747
PRIDE Community Services, Inc.	\$ 250,339	\$ 250,339
Raleigh County Community Action Association, Inc.	\$ 232,040	\$ 232,040
Southwestern Community Action Council, Inc.	\$ 658,664	\$ 658,664
Telamon Corporation	\$ 365,942	\$ 365,942
TOTALS	Totals will be auto-populated	Totals will be auto-populated

- 7.3. Distribution Process:** Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission). **[Narrative, 2500 Characters]**

Ninety percent (90%) of the CSBG funds allotted to the State will be allocated to CSBG eligible entities based on the established formula. CEEs will have 30 days to complete and submit their application. OEO will then review applications for completeness within 30 days. Once a CEEs application is approved, OEO will issue a Grant Agreement and award notification to the CEE based on the level of funding received from ACF at that time. Typically, it will be a first quarter award. OEO will not permit an entity to spend multiple allotments simultaneously. The distribution formula will be updated as new poverty data becomes available.

- 7.4. Distribution Timeframe:** Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? ☐ Yes ☒ No

- 7.4a.** If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption. **[Narrative, 2500 Characters]**

West Virginia operates its CSBG program on a calendar year of January 1 through December 31. CEE's CSBG Budgets are based on a 12 month grant period. Due to the uncertainty of when Federal awards will be received, this method allows the eligible entities to better plan program expenditures, and allows for consistent grant start dates from year to year. To ensure all funds are expended by the program completion date, OEO works closely with agencies that are still spending carry-over funds after the 12th month of program operations. If needed, OEO will approve a formal request from an eligible entity to extend the period of the grant beyond 12 months. Extensions will be granted in 3 month increments until all funds are spent. If needed, an agency must request a contract extension in the 11th month of the current program year in order to carry-over funds.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

- 7.5. Performance Management Adjustment:** How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements

~~should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. [Narrative, 2500 Characters]~~

~~**Note:** This information is associated with State Accountability Measure 2Sb and may pre-populate the State's annual report form.~~

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

- 7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. **[Numeric response, specify \$ or %]** 5%
- 7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[Insert a number between 0 – 99]** 13
- 7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[Insert a number between 0 – 99]** 4.2

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

- 7.9. Does the State have remainder/discretionary funds? X Yes ☐ No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, item 14.2.

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in row “f” of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa; the responses may pre-populate the State's annual report form.

Use of Remainder/Discretionary Funds			
Remainder/	Year One	Year Two	Brief description of

Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Planned %	Planned \$	Planned %	services/activities
a. Training/technical assistance to eligible entities	[Enter either a planned \$ or % for each item listed for the first year that this plan covers. If entering a percentage, the percentages must total 100%.]		[Enter either a planned \$ or % for each item listed second year that this plan covers. If entering a percentage, the percentages must total 100%.] [If this is a one-year plan, these columns can be left blank]		[Not Fillable] These planned services/activities will be described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
c. Statewide coordination and communication among eligible entities					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					
e. Asset-building programs					[Narrative, 2500 characters]
f. Innovative programs/activities by eligible entities or other neighborhood groups					[REQUIRED Narrative, 2500 characters] Describe here or attach additional information.
g. State charity tax credits					[Narrative, 2500 characters]
h. Other activities, specify _____					[Narrative, 2500 characters]
Totals	Auto-Calculated	Auto-Calculated	Auto-Calculated	Auto-Calculated	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]** 8
- ☐ Other community-based organizations
- ☐ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s) NASCSP for Training, ROMA Group
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 2500 characters]** West Virginia Coalition to End Homelessness to conduct research on ending homelessness in WV.
- ☐ None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.

If this is the first year filling out the automated State Plan, skip the following question.

7.11. ~~Performance Management Adjustment:~~ How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Note: ~~This information is associated with State Accountability Measures 3Sb, and will pre-populate the State's annual report form.~~

SECTION 8

State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of Remainder/Discretionary Funds.)

Note: 8.1 is associated with State Accountability Measure 3Sc and may pre-populate the State's annual report form.

Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Dropdown options: <ul style="list-style-type: none"> FY1 – Q1 FY1 – Q2 FY1 – Q3 FY1 – Q4 	Toggle Options: <ul style="list-style-type: none"> Training Technical Assistance Both 	Dropdown Options: <ul style="list-style-type: none"> Fiscal Governance/Tripartite Boards Organizational Standards – General 	[Narrative, 2500 characters] If "Other" is selected in column 3, describe in this column

Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
<ul style="list-style-type: none"> FY2 – Q1 FY2 – Q2 FY2 – Q3 FY2 – Q4 Ongoing / Multiple Quarters All quarters 		<ul style="list-style-type: none"> Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) Correcting Significant Deficiencies Among Eligible Entities Reporting ROMA Community Assessment Strategic Planning Monitoring Communication Technology Other 	
ADD a ROW function Note: Rows will be able to be added for each additional training			

SAMPLE: The following is a sample of how this table can be completed:

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include but T/TA
FY1 - Q4	Training	ROMA	
Choose an item.	Choose an item.	Choose an item.	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): _____ **[Prepopulated with the budget allocation for years one and two under 7.9a]**

If this is the implementation year for organizational standards, skip question 8.2.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate? ☐ Yes ☐ No

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.) **[Check all that applies and narrative where applicable]**

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- ☐ Other community-based organizations
- ☐ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 2500 characters]** The State office will provide training.

If this is the first year filling out the automated State Plan, skip the following question.

~~**8.4. — Performance Management Adjustment:** How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**~~

~~**Note:** This information is associated with State Accountability Measures 3Sd and may pre-populate the State's annual report form.~~

SECTION 9

State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. **[Check all that apply from the list below and provide a Narrative, 2500 Characters]**

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.

- ☐ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☐ State Weatherization office
- ☐ State Temporary Assistance for Needy Families (TANF) office
- ☐ State Head Start office
- ☐ State public health office
- ☐ State education department
- ☐ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ State child welfare office
- ☐ State housing office
- ☐ Other – Coordination with the Emergency Solutions Grant program, Housing Opportunities for Persons with AIDS program, and HUD Continuum of Care funded programs.

The State promotes a statewide network of partners that increase economic opportunities for individuals, families, and communities in West Virginia. The State plans to have in place by FY 2017 at least 25 statewide partnerships for securing additional funding opportunities, boosting collaborations and enhancing training opportunities, while maintaining active healthy partnerships.

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed. **[Narrative, 2500 Characters]**

The state maintains an active partnership with the West Virginia Community Action Partnership, the West Virginia Coalition to End Homelessness and will partner with the state WIOA committee, and will work to provide more opportunities for CEEs to participate in WIOA programs on a local level. The State also participates on an HMIS (Homeless Management Information System) steering committee made up of representatives from all four WV Continuums of Care, and a representative from the State CSBG/ESG office to promote collaboration and data sharing.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination: Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed. **[Narrative, 2500 Characters]**

CSBG eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client circumstances. CSBG eligible entities have developed extensive information and referral networks and/or “one stop” service centers to meet the many needs of the clients seeking services. Eligible entities partner with other public and private resources to provide a complete range of services for individuals, families, and communities. In Fiscal Year 2014, the eligible entities reported leveraging a total of \$89,402,427 non-Community Service Block Grant Funds to meet identified community needs.

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

Through linkages established within the service area individuals and families can be connected to an array of local programs and services to meet the needs of family members. A condition of continued receipt of CSBG funds each year is the submission of an annual CSBG Application which includes information on programs which assist low-income individuals and includes the entities follow-up mechanisms. CSBG eligible entities are encouraged to provide appropriate case management services including an assessment of the household’s needs and a plan of action to meet the needs and regular follow-up to ensure that clients are making progress in meeting established goals. Each CSBG eligible entity includes a description of how the entity coordinates and mobilizes public and private resources to effect maximum leveraging for CSBG funds (ROMA Goal 4: Partnerships among supporters and providers of service to low-income people are achieved, and ROMA Goal 5: Agencies increase their capacity to achieve results). CSBG funds provide the underpinning which enable CSBG eligible entities to operate an array of anti-poverty and social service programs. Coordination of public and private funding takes place at the local level in a variety of ways suited to the individual community and available resources.

CSBG eligible entity staff and/or administrators meet with other providers in the service area to determine how best to not duplicate services while providing the services needed to meet the emergency needs of low-income persons and establishing/improving programs which assist low-income persons to transition out of poverty.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

- 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:** Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? ☐ Yes ☒ No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

~~**9.4a** If the State selected “yes” under item 9.4, provide the CSBG specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. [Narrative, 2500 Characters]~~

9.4b. If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system. **[Narrative, 2500 Characters]**

Under the WIA program WV law established an Interagency Collaborative Team comprised of the mandated partners under WIA. The state is continuing the group through WIOA. OEO has reached out to this group to participate and present information about CSBG and how the programs can work together to improve employment outcomes and training activities in the State of WV. This process is in the very early stages of implementation. The state office will continue to participate and educate the partners about the activities and purposes of CSBG. The state will also encourage CEEs to take a more active role in their local WIOA offices

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act). **[Narrative, 2500 Characters]**

The WV Department of Health and Human Resources (DHHR) Low-Income Home Energy Assistance Program (LIHEAP) allows West Virginia Weatherization Assistance Program Sub-recipients the administration of an Energy Crisis Intervention Program (ECIP). The ECIP program is designed to aid households in need of emergency heat due to non-existent, non-operable, severely malfunctioning, unsafe, or severely inadequate heat during the winter months, from November 1 to March 15.

Note: This response will link to the corresponding CSBG assurance, item 14.6.

- 9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act. **[Narrative, 2500 characters OR attach a document]**

Eligible entities are required to submit an application that includes a community action plan. The plan must include information on how the CEE coordinates programs with and forms partnerships with other organizations serving low-income residents of the communities, including religious organizations, charitable groups, and community organizations. The state monitors for MOUs / partnership agreements during regular on-site monitoring and checks for partnerships on the annual IS Report.

Note: this response will link to the corresponding assurance, item 14.9

- 9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. **[Narrative, 2500 Characters]**

CSBG eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client circumstances. CSBG eligible entities have developed extensive information and referral networks and/or "one stop" service centers to meet the many needs of the clients seeking services. Through linkages established within the service area individuals and families can be connected to an array of local programs and services to meet the needs of family members.

Note: this response will link to the corresponding assurance, item 14.3c.

- 9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association. **[Narrative, 2500 Characters]**

As part of the grant agreement between the state and the association, funding is awarded specifically for the annual training conference. The state asks all CEEs to participate in the training conference. All WV CEEs are encouraged to attend even if not members of the association. The association is the lead agency for ROMA training in the state. Within the year, 11 of 16 CEEs will have a certified ROMA trainer on staff. This has been a significant effort and demonstration of partnership between the state office and association. The state office provides program updates for all association board meetings, and is available to attend if requested.

- 9.9 Communication with Eligible Entities and the State Community Action Association:** In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
Communication from OCS including Dear Colleague Letters and IMs	Other	Email	Will be distributed asap after receipt from OCS
CSBG Program Updates	Quarterly	Email	
State Plan	Annually	Email, Website, and Other	Presented in an annual hearing and legislative hearing
Organizational Standards	Semi-Annually	Email, Website, Meetings/Presentations	
CSBG Application	Annually	Email, Meeting/Presentation	
Notification of National Training Opportunities that pertain to Community Action	Monthly	Email	
CSBG Executive Director meetings	Quarterly	Meeting/Presentation	
Program Report to WVCAP Association Board meeting	Bi-Monthly	Email	

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures. **[Narrative, 2500 Characters]** The State prefers to provide feedback to local entities and the Association regarding performance on State Accountability Measures as part of Bi-monthly Association meetings. If that is not possible, the State would provide a written update and distribute via email.

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. ~~Performance Management Adjustment:~~ ~~How is the State adjusting the Communication plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. [Narrative, 2500 Characters]~~

Note: ~~This information is associated with State Accountability Measures 7Sb; this response may pre-populate the State's annual report form.~~

SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State’s proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State’s annual report form.

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of “Other”
Will auto-populate from item 5.1	Dropdown Options: <ul style="list-style-type: none"> • Full onsite • Newly Designated • Follow-up • Other • No review 	Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4 	Select a date	[Narrative, 2500 characters] If “Other” is selected in column 2, describe in this column
Central WV Community Action Association, Inc.	Full Onsite Other	FY2 Q1	April 14-15, 2014	Annual fiscal review
CHANGE, Inc.	Full Onsite Other	FY1 Q3	July 8-10, 2013	Annual fiscal review
Coalfield Community Action Partnership, Inc.	Full Onsite Other	FY1 Q3	Sept 16-18, 2013	Annual fiscal review
Community Action of South Eastern West Virginia, Inc.	Full Onsite Other	FY1 Q4	Oct 21-23, 2013	Annual fiscal review
Community Resources, Inc.	Full Onsite Other	FY2 Q3	Sept 1-3, 2014	Annual fiscal review
Council of the Southern Mountains, Inc.	Full Onsite Other	FY2 Q4	Oct 20-21, 2014	Annual fiscal review
Eastern WV Community Action Agency, Inc.	Full Onsite Other	FY2 Q4	Sept 22-24, 2014	Annual fiscal review
EnAct, Inc.	Full Onsite Other	FY1 Q3	May 26-27, 2015	Annual fiscal review

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
Mountain CAP of West Virginia, Inc.	Full Onsite Other		Aug 5-6, 2015	Annual fiscal review
MountainHeart Community Services, Inc.	Full Onsite Other	FY2 Q3	June 9-11, 2015	Annual fiscal review
Nicholas Community Action Partnership, Inc.	Full Onsite Other	FY1 Q1	Apr 22-25, 2013	Annual fiscal review
North Central WV Community Action Association, Inc.	Other		Feb 19-21, 2013	Annual fiscal review
PRIDE Community Services, Inc.	Full Onsite Other	FY1 Q1	Apr 1-3, 2013	Annual fiscal review
Raleigh County Community Action Association, Inc.	Other		Jun 16-17, 2015	Annual fiscal review
Southwestern Community Action Council, Inc.	Full Onsite Other	FY2 Q3	Jun 22-24, 2015	Annual fiscal review
Telamon Corporation	Other			Annual fiscal review

10.2. Monitoring Policies: Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link]**

10.3. Initial Monitoring Reports: According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities? **[Insert a number from 1 – 100]** 60

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings: Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above? X Yes ☐ No

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings. **[Narrative, 2500 characters]**

10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans? **[Numeric, 3 digits]**

Note: The QIP information is associated with State Accountability Measures 4Sc.

10.6. Reporting of QIPs: Describe the State’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP? **[Narrative, 2500 characters]**

Note: This item is associated with State Accountability Measure 4Sa(iii)).

10.7. Assurance on Funding Reduction or Termination: Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).” X Yes ☐ No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes X No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities. **[Narrative, 2500 Characters]**

In the event that the State terminates the designation of an organization as an eligible entity, or otherwise reduces funds, any resulting funding may be awarded only to an organization that is an eligible entity for CSBG funds. Section 676A of the CSBG Act outlines procedures for designation and re-designation of eligible entities in un-served areas. In accordance with the CSBG Act, a State may solicit applications and designate as an eligible entity either:

- A private nonprofit organization that is geographically located in the un-served area that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency and meets the requirements of the CSBG Act; or
- A private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the un-served area and is already providing related services in the un-served area.

States must grant the designation to an organization of demonstrated effectiveness in meeting the goals of the CSBG Act, and may give priority to an eligible entity in a contiguous area that is already providing related services in the un-served area. If no private, nonprofit organization is identified or determined to be qualified as an eligible entity to serve the area, the State may designate an appropriate political subdivision of the State to serve as an eligible entity for the area.

Any nonprofit or public agency receiving CSBG funds must meet the tripartite board requirements specified in Section 676B of the CSBG Act. The process of soliciting applications to select a new eligible entity may take place during the period in which the Department of Health

and Human Services is reviewing a State decision to terminate an organization's eligibility for CSBG funds. However, the State may not award the funds to a new eligible entity until the Department confirms the State's finding for cause or the 90-day period for Federal review has passed.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities?
☐ Yes ☒ No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities. **[Narrative, 2500 Characters]**

The State will follow the requirements of the CSBG Act for de-designation of eligible entities and adhere to the guidance in CSBG IM 116. The state also recognized the importance of further defining the procedures for de-designation and aims to establish detailed procedures during the period covered by this application.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?
☐ Yes ☒ No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. **[Narrative, 2500 Characters]**

The State will follow the requirements of the CSBG Act for re-designation of eligible entities and adhere to the guidance in CSBG IM 116. The state also recognized the importance of further defining the procedures for de-designation and aims to establish detailed procedures during the period covered by this application.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). **[Narrative, 2500 Characters or attach a document]**

The State has established appropriate fiscal controls and accounting procedures that permit the accurate and timely preparation of the SF-425. Multiple reports are run from the State's accounting system (wvOasis). The information contained in these reports is used to prepare an initial SF-425. The SF-425 is then reconciled and reviewed before submission. Additionally, OEO ensures staff possess the required skills and knowledge necessary to prepare the SF-425. An office-wide operational calendar is also maintained with report deadlines.

To permit the tracing of expenditure adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96361(a), the State conducts annual Fiscal Monitoring of eligible entities during which reported

eligible entity expenditures are tested for allowability and internal controls and financial management systems are assessed.

10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. **[Narrative, 2500 Characters]**

Sub-grantee single audits are due to OEO within 9 months of the end of the Sub-grantee's fiscal year. If the deadline is not met, OEO sends the Sub-grantee a reminder notice and extension request form via mail. Once a Sub-grantee submits an extension request using the, OEO will review for approval or disapproval. This form will be signed by an OEO authorized employee and emailed to the Sub-grantee Executive Director.

OEO will verify when the audit was submitted to the Federal Clearinghouse, and note this on the "Annual Audit Chart", maintained by the Fiscal Division of OEO. If the audit has not been submitted to the Federal Clearinghouse, OEO will send a reminder notice before reviewing the audit.

The fiscal compliance monitor will review all audits using the "OEO Subrecipient Audit Review Checklist." A "Subrecipient Audit Review Summary" is completed for the audit, and maintained on OEO's shared drive. Depending on the results of the review, OEO forwards to the Subrecipient either (1) a letter indicating acceptance of the audit package or (2) a letter issuing a management decision and requesting a Corrective Action Plan (CAP). The Subrecipient has 6 weeks to submit a CAP if applicable.

If a Subrecipient has not submitted the CAP within the deadline, the CAP "Reminder Email" will be forwarded to the Executive Director. Upon receipt of the CAP, OEO will review and send to the Subrecipient either an acceptance notice or another correspondence requesting modification to the CAP.

Note: This information is associated with State Accountability Measure 4Sd.

10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? X Yes ☐ No

Note: This response will link with the corresponding assurance, item 14.7

If this is the first year filling out the automated State Plan, skip the following question.

~~**10.14. Performance Management Adjustment:** How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**~~

~~**Note:** This item is associated with State Accountability Measure 4Sb and may pre-populate the State's annual report form.~~

SECTION 11

Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? **[Check all that applies and narrative where applicable]**

- ☐ Attend Board meetings
- ☐ Review copies of Board meeting minutes
- ☐ Track Board vacancies/composition
- ☐ Other **[Narrative, 2500 characters]** Review of bylaws to ensure that the procedures for filling board positions meet the requirement and intent of the CSBG Act.

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? **[Check all that applies and narrative where applicable]**

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☐ Other **[Narrative, 2500 characters]** The state mandates the use of a board tracking data system where CEEs maintain current board information including; board member profiles, board meeting records including the attachment of minutes after approved, board composition, bylaws, board training hours, and volunteer reporting.

11.3. Assurance on Eligible Entity Tripartite Board Representation: Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board. **[Narrative, 2500 Characters]** This assurance is included as part of the programmatic assurances the CEE agrees to in the grant agreement.

Note: This response will link with the corresponding assurance, item 14.10.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. ☐ Yes ☒ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

Section 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: What is the income eligibility threshold for services in the State?
[Check one item below.]

- ☐ 125% of the HHS poverty line
- ☐ X % of the HHS poverty line (fill in the threshold): _____% [insert up to a 3 digit percentage]
- ☐ Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. [Narrative, 2500 Characters, or attachment]

To be eligible for CSBG services, clients must be at or below 125% of the federal poverty line as determined by the federal Office of Management and Budget based on the most recent federal Census data and as revised annually (or more frequently) by the U.S. Department of Health and Human Services (the HHS poverty guidelines). Eligible entities should use the most current HHS poverty guidelines when assessing income eligibility. The current guidelines are published in the Federal Register and are available on the HHS website www.hhs.gov. The guidelines are calculated on a sliding scale based on the number of persons in a client's family and will be automatically calculated when the household income is entered into the statewide data solution.

The State plans to develop specific guidance on how to calculate a client's income for the purpose of determining client eligibility for CSBG services or benefits.

12.2. Income Eligibility for General/Short Term Services: For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance. [Narrative, 2500 Characters]

At this time the State does not address how it ensures eligible entities generally verify income eligibility for services with limited in-take procedures. The State plans to develop guidance in this area during the period of this plan.

12.3. Community-targeted Services: For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities? [Narrative, 2500 Characters]

At this time the State does not address how it ensures eligible entities' services target and benefit low-income communities. State plans to develop guidance in this area during the period of this plan.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation: In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? **[Check one]**

Note: This response will also link to the corresponding assurance, item 14.12.

- ☐ The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

13.1a. If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA. **[Attachment and Narrative, 2500 characters]**

The CEE certifies that all activities carried out with funds provided under the Grant Agreement shall report on each of the six national Results Oriented Management and Accountability (ROMA) goals and applicable outcome indicators as defined in the WV Outcome Framework. The ROMA System is woven into the entire design of the CSBG program in WV; from submission of annual grant applications by CEEs, to consistent data entry, documentation of services and outcomes, and regular reporting.

The State is partnering with the WV Community Action Partnership to lead a new state ROMA Task Force designated to guide the direction of ROMA implementation among WV CSBG eligible entities(CEEs). The Task Force is made up of Nationally Certified ROMA Trainers (NCRTs) and NCRT candidates working to become trainers. Currently, 11 of 16 CEEs are represented on the Task Force. The State office has 2 NCRTs and the Association has 2 NCRTs that are also on the Task Force.

See Attachment "WV IM_2015-5_ROMA Implementation Policy" for more information.

~~**13.1b.** If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement. **[Narrative, 2500 characters]**~~

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act? **[Check one and Narrative, 2500 characters]**

Note: This response will also link to the corresponding assurance, item 14.12.

- ☐ CSBG National Performance Indicators (NPIs)
- ☐ NPIs and others
- ☐ Others

The State of WV will utilize the CSBG National Performance Indicators and additional WV Indicators to track eligible entity performance in promoting self-sufficiency, family stability, community revitalization, and agency capacity as required under Section 676(b)(12) of the CSBG Act. The Sub-recipient shall report all agency-wide unduplicated customer and household characteristics, demographics and outcome/indicator data in DBA FACS Pro™. Data quality assurance measures and goals will be added to the Grantee monitoring and performance review of all Sub-recipients receiving CSBG funding.

The Sub-recipient shall provide on a quarterly basis, timely, complete and accurate CSBG Information Survey (hereafter “IS”) data via DBA FACS Pro™. Data to be provided specifically is unduplicated customer and household characteristics and demographics as indicated in Section G of the IS; customer outcome/indicator projected and actual data.

The Sub-recipient shall report unduplicated household characteristics and demographics, outcomes and indicators for all programs and services, not only those supported by CSBG. (ROMA Goals 1 and 6)

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? [Narrative, 2500 characters or attach a document]

The state office has 2 certified ROMA trainers on staff to provide ROMA training and technical assistance when needed. The state also utilized a portion of the 5% CSBG discretionary funding to provide a statewide database system to the network that has been designed to function within the ROMA system; including the use of Logic Models, Scales and Matricees, tracking of services and results, planning and evaluation tools. The state provides regular training on the use of the data system. The state has also formed a ROMA task force in cooperation with the WV Community Action Partnership that focuses on improving the ROMA system in the state for all CEEs and guiding state policy related to the ROMA system.

Note: The activities described under item 13.3 may include activities listed in “Section 8: Training and Technical Assistance.” If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery? [Narrative, 2500 characters or attach a document]

As part of the CSBG Application for funding a community action plan is submitted that requires CEEs to report on their programs and where improvements need to be made. This in combination with submission of ROMA Logic Models that provide data that is critical to a plan for improvement. The state also recognizes that more oversight and work needs to be done to ensure that this process takes place on a local level.

Note: This response will also link to the corresponding assurance, item 14.12.

Community Action Plans and Needs Assessments

- 13.5.** Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 2500 characters or attach a document]**

A Community Action Plan is required as part of the annual application for funding. The state has developed a template that CEEs can use to present their plan.

Note: this response will link to the corresponding assurance, item 14.11.

- 13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 2500 characters or attach a document] (Certification of Needs Assessment)**

The state requires the submission of a Certification of Needs Assessment form as part of the application for CSBG funding to ensure that the assessment has been completed as well as the method of doing so. The full assessment is reviewed during regular on-site monitoring of the CEE.

Note: this response will link to the corresponding assurance, item 14.11.

SECTION 14

CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

- 14.1a. 676(b)(1)(A):** Describe how the State will assure "that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;

- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

[Narrative, 2500 or attach a document] The State reviews eligible entities' annual grant applications to assure that support activities are designed to meet the requirements outlined in section 676(b)(1)(A) of the CSBG Act. The assurances are included as part of the Grant Agreement between the state and CEE.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
 - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

[Narrative, 2500 characters OR attach a document] The State reviews eligible entities' annual grant applications to assure that support activities are designed to meet the requirements outlined in section 676(b)(1)(B) of the CSBG Act. The assurances are included as part of the Grant Agreement between the state and CEE.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

[Narrative, 2500 characters OR attach a document] The State reviews eligible entities’ annual grant applications to assure that support activities are designed to meet the requirements outlined in section 676(b)(1)(C) of the CSBG Act. The assurances are included as part of the Grant Agreement between the state and CEE.

State Use of Discretionary Funds

14.2 676(b)(2) Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

14.3a. 676(b)(3)(A) Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

Each eligible entity in West Virginia provides a unique service delivery systems and describes that system in their annual CSBG application through the completion of a comprehensive community action plan along with supporting ROMA logic models. Each entity has the ability to tailor their service delivery system to the needs of the local community.

[Narrative, 2500 characters OR attach a document]

Eligible Entity Linkages – Approach to Filling Service Gaps

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

- 14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

As part of the CSBG annual application submitted, eligible entities prepare and submit a comprehensive community action plan. The plan describes each initiative or program the entity is providing during the year and must include a list of all partners and collaborators working on each initiative or program. Eligible entities are also required to enter each partnering agency into the statewide data solution for tracking of referrals and for reporting in goal 4 of the IS Report.

Note: the State describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

- 14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

The State reviews eligible entities’ annual grant applications to assure that support activities are designed to meet the requirements outlined in section 675C(a) of the CSBG Act. The assurances are included as part of the Grant Agreement between the state and CEE.

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

[Narrative, 2500 characters OR attach a document]

Eligible Entity Emergency Food and Nutrition Services

- 14.4. 676(b)(4)** Describe how the State will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

[Narrative, 2500 characters OR attach a document]

The State reviews eligible entities’ annual CSBG applications to assure that there is a plan for provision of nutrition services as described in section 675C(a) of the CSBG Act. Where entities are not providing direct services, they are to explain how they partner with other providers in the community which meet the need.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 14.5. 676(b)(5)** Describe how the State will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[No response; links to 10.13]

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[No response; links to 10.7]

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the State will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.6.

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action

plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide “information describing how the State will carry out the assurances described in this section.”

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

[No response for this item]

- ☐ By checking this box, the State CSBG authorized official is certifying the assurances set out above.

SECTION 15

Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title

31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- ☐ By checking this box, the State CSBG authorized official is providing the certification set out above.

15.2 Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

- ☐ By checking this box, the State CSBG authorized official is providing the certification set out above.

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
☐ By checking this box, the State CSBG authorized official is providing the certification set out above.

15.4 Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of

the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

- ☐ By checking this box, the State CSBG authorized official is providing the certification set out above.

DRAFT